
EVALUATOR MANUAL TRANSMITTAL SHEET

Distribution:

☐ All Child Care Evaluator Manual Holders
☒ All Residential Care Evaluator Manual Holders
☐ All Evaluator Manual Holders

Transmittal No.

17RM-04

Date Issued

August, 2017

Subject:

Residential Care Facilities for the Elderly
Reference Material, Comprehensive Evaluation Tools

Reason for Change:

Amend section 8-1090 – Resident File Review

Filing Instructions:

REMOVE: Page 21

INSERT: Page 21

Approved:

Original signed by Lilit Tovmasian

8/10/2017

LILIT TOVMASIAN Chief

Policy Development Bureau
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Date

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8-1070 FACILITY RECORD REVIEW (Continued)**8-1070**

- Theft and Loss Policy
 - a. Does the facility have a Theft and Loss Policy as required in statute?
 - b. Are facility staff trained on the policy?
 - c. Are lost and stolen items documented?
 - d. What is the facility's investigation procedure?
 - e. Does the facility notify all current residents and all new residents, upon admission, of the facility's policy and procedure relating to the Theft and Loss Prevention Program?
- Waivers
- If the facility cares for residents with dementia, is there an approved written plan of operation addressing the needs of those residents with dementia?
- Current admissions agreement
- Written statement that informs the resident and the resident's responsible person that a copy of the inspection reports are available at the **Regional Office** for review.
- Does the actual medication on hand accurately compare with the centrally stored medication records? The Licensing Program Analyst may recommend a "start date" for medications entered into the record.

At this time, the Licensing Program Analyst should request missing/incomplete documentation noted during the file review.

8-1080 PERSONNEL RECORD REVIEW**8-1080**

The Licensing Program Analyst must select files for review. Personnel records must be reviewed for completeness and accuracy. The Licensing Program Analyst should use the Review of Staff/Volunteer Records (LIC 859) to document the personnel files reviewed **and** citing deficiencies when appropriate. Ten personnel records or 10 percent (whichever is greater) shall be reviewed.

Additional files may be reviewed at the Licensing Program Analysts discretion. For example, if the Licensing Program Analyst has not made prior visits to the facility, or if the facility has a history of Type A deficiencies or if civil penalties have previously been assessed.

- The Licensing Program Analyst may use the LIC 500 to select the files for review.

8-1080 PERSONNEL RECORD REVIEW (Continued)**8-1080**

- Special attention should be given to files of new hires and staff mentioned frequently in incident reports.
- Verify that the individuals listed on the Notice of Facility Roster (LIS 555) are current employees and update the form as appropriate.
- Review files to verify completion of an approved certification program (if applicable) training including Administrator's Certification.
- A dated weekly employee time schedule should be displayed for reference.
- An on the job training program in required areas.
- Review the health screening report to verify that all employees are qualified and do not have health conditions that would create a hazard.
- Does the staff have specific dementia care training (for those facilities that accept and retain residents with dementia)? Are they trained in identifying and reporting abuse and neglect? Are they trained in how medications can affect residents' behaviors?

8-1090 RESIDENT FILE REVIEW**8-1090**

The Licensing Program Analyst must select files for review. Ten resident files or **a minimum of** 10 percent (whichever is **greater**), shall be reviewed. Additional files may be reviewed at the Licensing Program Analyst's discretion. Existing regulations require the facility to provide a current Register of **Facility Residents-Residential Care Facilities for the Elderly** (LIC 9020A), or comparable form. The Licensing Program Analyst may randomly select the files from this list, or may select files for review using the following criteria:

- Resident is mentioned in incident report(s).
- Resident's file was not reviewed at the time of the previous annual visit.
- Facility has obtained or is requesting an exception for a resident.
- Resident has one or more restricted health conditions.